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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gary L. Gastineau, et al
Serial No. : 09/815,589
Filed : March 23, 2001
Title : HEDGING EXCHANGE TRADED MUTUAL FUNDS OR OTHER
PORTFOLIO BASKET PRODUCTS

Art Unit : Unknown
Examiner : Unknown

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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PRELIMINARY AMENDMENT

Prior to examination, please amend the application as indicated on the following pages.

10/17/2003 EAREGAY1 00000136 09815589

01 FC:1201 172.00 OP
02 FC:1202 594.00 OP

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

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